

File - HO1270413

[Restore Tabs](#)

Summary Information

File Number HO1270413
Assigned Office 42 - OFFICE OF INVESTOR EDUCATION AND ADV
Assigned To MCCREERY, JOHN Reassign To (no reassignment)
Assignment Date 04/03/2008
Contact Type Letter Status Closed
File Type Complaint
Contact Date 03/20/2008 Received Date 04/03/2008
Priority Due Date 04/09/2008

Investor and Registered Representative Information

Name	Type	Company	
Anonymous	Correspondent Investor		View/Edit

Assignment History

Assignment Date	Assignee
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Entities

Name	Type	Issuer	
Bernard Madoff	Broker-dealer	Bernard L. Madoff	View/Edit

Complaint/Inquiry Codes

Code and Description	
140 - Theft of funds or securities (Group: SP-Sales Practices)	View/Edit

Product

Product Name
Product Code

Analysis

Comment

Contacts with Investor/Entity

Type	Reply	Date	Comment	
Contact to Other SEC Division or Office	Internal	04/07/2008	FYI referral to Simona Suh	View/Edit

Referrals

Referral Date	Referred To	Referral Type	Referred Reason	
04/07/2008	Simona Suh	I - Internal Information	03 - Other apparently fraudulent conduct	View/Edit

Disposition Information

Disposition Code 09 - Referral within SEC; no response to investor
Disposition Date 04/07/2008
Disposition Comment
Investor Amount Recovered

Results

Code and Description

[Send Email](#)

Contacts with Investor/Entity			
Type	Reply	Date	Comment
Contact to Other SEC Division or Office	Internal	04/07/2008	FYI referral to Simona Suh

Office of Investor Education and Assistance
Securities and Exchange Commission
Washington, D.C. 20549

Referral

To: Region/District/Division
Simona Suh Enforcement

Required fields are shown with a yellow background and an asterisk (*)

Content

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Office of Investor Education and Assistance
Securities and Exchange Commission
Washington, D.C. 20549

Referral

To: Region/District/Division
Simona Suh Enforcement

From: Jack McCreery Attorney Date: April 7, 2008
Approved By: OIEA Branch Chief [REDACTED] Date:

OIEA File Number: HO-1270413

Reason for referral: FYI.

Copies of relevant reports/correspondence are attached (Y/N): Y

Systems Searched (Y/N) Names Searched

NRSI Y Madoff

EDGAR TMS N

CRD N

ACTS N

Lexis/Nexis N

Anonymous letter. The return address on the envelope appears to be for the New York public library.

Modified: 01/05/2004